

## GENERAL INSTRUCTIONS -- Fall Staff form for nondegree-granting institutions

### PERIOD OF REPORT

Report all persons on the payroll of the institution as of November 1, 2001. This is intended to provide a snapshot of your human resources/payroll data at one point in the fall.

SPECIAL NOTE: All staff reported in the Employees by Assigned Position (EAP) component are to be included in the Fall Staff component in the same occupational activity/assigned position category. Please refer to the detailed instructions for EAP in the Help Menu.

### CATEGORIZATION OF EMPLOYEES BY EMPLOYMENT STATUS

When reporting employees as full or part time, the following apply –

Report men and women by their full-time/part-time status as of November 1 of this year. This status is to be determined by the institution. The **Glossary** should assist in clarifying full-time/part-time status. **Do not include** persons whose services are contracted by or donated to the institution. The caveats box on the screening questions page may be used to describe the extent to which the institution uses contracted or donated services.

Each employee must be accounted for in **one and only one** of the occupational activity categories on either a full-time page or a part-time page. If an employee is engaged in two or more separate activities, the employee should be reported according to his or her **primary** activity. The institution shall determine what constitutes the primary activity.

Employees at off-campus centers associated with the campus covered by this report should also be included.

Hospitals, medical centers and other entities that offer postsecondary education programs as part of their mission should report **only** those staff who work full time or part time in the postsecondary education division or component of the institution. If an employee works full time for the institution, but only part time in the postsecondary education division or component, for purposes of this survey, that employee should be reported as part time in his or her primary occupational activity in the postsecondary education division or component.

### CATEGORIZATION OF EMPLOYEES BY OCCUPATIONAL ACTIVITY

The following instructions will assist in the assignment of employees to primary occupational activity categories:

#### **Faculty (instruction/research/public service)**

Report as faculty, all persons whose specific assignments customarily are made for the purpose of conducting instruction, research or public service as a principal activity (or activities), and who hold academic-rank titles of professor, associate professor, assistant professor, instructor, lecturer or the equivalent of any of these academic ranks. Also include deans, directors or the equivalent, as well as associate deans, assistant deans and executive officers of academic departments (chairpersons, heads or the equivalent) if their principal activity is instruction combined with research and/or public service. Do not include graduate assistants here, but report them as graduate assistants on the part time screens.

Librarians and counselors are normally reported in the other professional category; however, some institutions treat them like faculty.

Report adjunct faculty employed on a part-time basis or on a full-time basis (if they were employed the full year) in the primary occupation for which they were hired.

NOTE: The total number of full-time faculty reported here should agree with the counts provided in the EAP component (all categories of faculty: primarily instruction, primarily research, primarily public service and the combined category).

### **Graduate assistants**

Report all students employed on a part-time basis for the primary purpose of assisting in classroom or laboratory instruction or in the conduct of research. Graduate students having titles such as teaching assistant, teaching associate, teaching fellow or research assistant typically hold these positions. Exclude students in the College Work-Study Program. Employees hired on a full-time basis (not students) are to be reported as "other professionals."

### **OTHER EMPLOYEES**

When classifying other employees, determine occupational category based on job title, work performed, skills, education, training and credentials. Report employees in the same occupational categories for the Fall Staff report as you did for the EAP.

### **Executive/administrative and managerial**

Report all persons whose primary assignments require management of the institution, or a customarily recognized department or subdivision thereof. Assignments require the performance of work directly related to management policies or general business operations of the institution, department or subdivision. Assignments in this category customarily and regularly require the incumbent to exercise discretion and independent judgment and to direct the work of others. See the *Glossary* for a full description of who to include in this category.

NOTE - Supervisors of professional employees are included here, while supervisors of nonprofessional employees (technical, clerical, craft and service/maintenance) are to be reported within the specific categories of the personnel they supervise.

Supervisors of professional and technical workers usually have a background similar to the workers they supervise, and are therefore classified with the workers they supervise. Likewise, team leaders, lead workers and supervisors of production, sales and service workers who spend at least 20% of their time performing work similar to the workers they supervise are classified with the workers they supervise.

First-line managers and supervisors of production, service and sales workers who spend more than 80% of their time performing supervisory activities are classified separately in the appropriate supervisor category, since their work activities are distinct from those of the workers they supervise. First-line managers are generally found in smaller establishments where they perform both supervisory and management functions, such as accounting, marketing and personnel work.

### **Other administrative**

Report all persons whose assignments require management of the institution, or a customarily recognized department or subdivision thereof, but who are subordinate to employees classified as executive and managerial. Assignments require the performance of work directly related to management policies or general business operations of the institution, department or subdivision. Assignments in this category customarily and regularly require the incumbent to exercise discretion and independent judgment. See the *Glossary* for a full description of who to include in this category.

### **Other professionals (support/service)**

Report all persons employed for the primary purpose of performing academic support, student service and institutional support activities, whose assignments would require either a baccalaureate degree or higher or experience of such kind and amount as to provide a comparable background. See the *Glossary* for a full description of who to include in this category.

### **Technical and paraprofessionals**

Report all persons whose assignments require specialized knowledge or skills that may be acquired through experience, apprenticeship, on-the-job-training or academic work in occupationally specific programs that result in a 2-year degree or other certificate or diploma. Include persons who perform some of the duties of a professional in a supportive role, which usually requires less formal training and/or experience than normally required for professional status. See the *Glossary* for a full description of who to include in this category.

### **Clerical and secretarial**

Report all persons whose assignments typically are associated with clerical activities or are specifically of a secretarial nature. Include personnel who are responsible for internal and external communications, recording and retrieval of data (other than computer programmers) and/or information and other paper work required in an office. See the *Glossary* for a full description of who to include in this category.

### **Skilled crafts**

Report all persons whose assignments typically require special manual skills and a thorough and comprehensive knowledge of the processes involved in the work, acquired through on-the-job training and experience or through apprenticeship or other formal training programs. See the *Glossary* for a full description of who to include in this category.

### **Service/maintenance**

Report all persons whose assignments require limited degrees of previously acquired skills and knowledge and in which workers perform duties that result in or contribute to the comfort, convenience and hygiene of personnel and the student body or that contribute to the upkeep of the institutional property. See the *Glossary* for a full description of who to include in this category.

## **CLASSIFICATION OF EMPLOYEES BY RACIAL/ETHNIC CATEGORY AND GENDER**

**Method of collection** - The manner of collecting racial/ethnic information is left to the discretion of the institution, provided that the system that is established results in reasonably accurate data which may be replicated by others when the same documented system is utilized. An employer may acquire the racial/ethnic information necessary for this section either by visual survey of the work force or from post-employment records.

**Assignment to categories** - For the purpose of this report, an individual may be included in the group to which he or she appears to belong, identifies with or belongs in the eyes of the community. A person may be counted in only one group. Racial/ethnic designations are requested only for United States citizens, resident aliens and other eligible non-citizens (see definitions below).

**Racial/ethnic descriptions** - Racial/ethnic designations used in this survey do not denote scientific definitions of anthropological origins. The categories are:

- **Black, non-Hispanic** - A person having origins in any of the black racial groups of Africa (except those of Hispanic origin).

- **American Indian/Alaska Native** - A person having origins in any of the original peoples of North America or who maintains cultural identification through tribal affiliation or community recognition.
- **Asian/Pacific Islander** - A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent or Pacific Islands. This includes people from China, Japan, Korea, the Philippine Islands, American Samoa, India and Vietnam.
- **Hispanic** - A person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race.
- **White, non-Hispanic** - A person having origins in any of the original peoples of Europe, North Africa or the Middle East (except those of Hispanic origin).

#### **Other descriptive categories**

- **Nonresident alien** - A person who is not a citizen or national of the United States and who is in this country on a visa or temporary basis and does not have the right to remain indefinitely.

**NOTE** - Nonresident aliens are to be reported separately, in the rows provided, rather than included in any of the five racial/ethnic categories above. Resident aliens and other eligible (for financial aid purposes) non-citizens who are not citizens or nationals of the United States but who have been admitted as legal immigrants for the purpose of obtaining permanent resident alien status (and who hold either an alien registration card (Form 1-551 or 1-151), a Temporary Resident Card (Form 1-688), or an Arrival-Departure Record (Form 1-94) with a notation that conveys legal immigrant status such as Section 207 Refugee, Section 208 Asylee, Conditional Entrant Parolee or Cuban-Haitian) are to be reported in the appropriate racial/ethnic categories along with United States citizens.

- **Race/ethnicity unknown** -This category is used ONLY if the employee did not select a racial/ethnic designation, AND the postsecondary institution finds it impossible to place the employee in one of the aforementioned racial/ethnic categories.

#### **CONFIDENTIALITY OF DATA**

If required, the confidentiality of individuals' salaries will be preserved in accordance with Title V, Section 501 (a) of the Education Amendments of 1974 (Public Law 93-380, 93rd Congress, August 21, 1974) which amends Part A of the General Education Provisions Act by adding at the end thereof a new Section 406 specifically referring to NCES. Section (d)(2) of the Act is cited below.

"The Center shall develop and enforce standards designed to protect the confidentiality of persons in the collection, reporting, and publication of data under this section. This subparagraph shall not be construed to protect the confidentiality of information about institutions, organizations, and agencies receiving grants from or having contracts with the federal government."

The Freedom of Information Act requires that data retained by the federal government must be made available to the public so long as the rights to privacy of individuals are not violated. When requested, data collected in this survey will be made available to the public. The database will contain all of the data items on the report (except those which might identify individuals), as well as the names of institutions submitting the reports.